

# Transportation Compliance Evaluation/Assistance Program

## 1. General Management of Transportation and Packaging Programs

Revision 1, July 2000

<b>Standard:</b> Management has developed and implemented a Quality Assurance Plan, a Transportation Safety Document (TSD), and if applicable, a Transportation Plan that includes directives, policies, and procedures to provide effective implementation of applicable international, federal, state, tribal, and local rules and regulations and DOE Orders and policy affecting transportation management.				<b>References:</b> DOE Orders 414.1, 460.1A, and 460.2	
Self-Assessment/Evaluation Actions	RESPONSE			Comment	
	Y	N	N/A		
A. GENERAL QUESTION SECTION					
Do the following DOE Orders apply to your contract?					
a. DOE Order 414.1, Quality Assurance?					
b. DOE Order 460.1A, Packaging and Transportation Safety?					
c. DOE Order 460.2, Departmental Materials Transportation and Packaging Management?					
If you have answered "Yes" to any of the three questions above, please go to the appropriate section in this checklist and complete the questions for that section.					
B. QUALITY ASSURANCE PROGRAM					
1. Has a Quality Assurance Plan (QAP) been prepared and approved according to the criteria listed in DOE Order 414.1? Does the QAP contain:					
2. Management					
a. Program					
1. Has a written Quality Assurance Program been developed, implemented and maintained?					
2. Does the QAP describe the organizational structure, functional responsibilities, levels of authority, and interfaces for those managing, performing, and assessing the work?					

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3. Does the QAP describe the management processes, including planning, scheduling, and resource considerations?				
b. Personnel Training and Qualifications				
1. Is documentation available to ensure that personnel are trained, qualified, and capable of performing their assigned work?				
2. Is documentation available to ensure that continuing training is provided to maintain job proficiency?				
c. Quality Improvement				
1. Have processes been developed and implemented to detect and prevent quality problems?				
2. Is documentation available to show that items, services, and processes that do not meet established requirements are identified, controlled and corrected according to the importance of the problem and the work affected?				
3. Is documentation available that identifies that an item's characteristics, process implementation and other quality-related information are reviewed and the data analyzed to identify items, services, and processes needing improvement.				
3. Performance				
a. Work Processes				
1. Is documentation available to ensure that work is being performed to established technical standards and administrative controls, using approved instructions, procedures, or other appropriate means?				
2. Is documentation available to ensure that items are identified and controlled to ensure their proper use?				

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3. Is documentation available to ensure that items are maintained to prevent their damage, loss, or deterioration?				
4. Is documentation available to ensure that equipment used for process monitoring or data collection is calibrated and maintained?				
b. Design				
1. Is documentation available to ensure the items and processes are designed using sound engineering/scientific principles and appropriate standards?				
2. Is documentation available to ensure that design work, including changes, has incorporated applicable requirements and design bases?				
3. Is documentation available to ensure that design interfaces are being identified and controlled?				
4. Is documentation available to ensure that the adequacy of design products is verified or validated by individuals or groups other than those who perform the work?				
5. Is documentation available to ensure that verification and validation work is completed before approval and implementation of the design?				
c. Procurement				
1. Is documentation available to ensure that procured items and services meet established requirements and perform as specified?				
2. Is documentation available to ensure that prospective suppliers are evaluated and selected on the basis of specified criteria?				
3. Is documentation available to ensure that processes for approved suppliers providing acceptable items and services on a continuing basis are established and implemented?				

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d. Inspection and Acceptance Testing				
1. Is documentation available to ensure that the inspection and testing of specified items is conducted using established acceptance and performance criteria?				
2. Is documentation available to ensure that equipment used for inspections and testing is calibrated and maintained?				
4. Assessment				
a. Management Assessment				
1. Is documentation available to ensure that managers are assessing their management processes?				
2. Is documentation available to ensure that problems hindering the organization from achieving its objectives are identified and corrected?				
b. Independent Assessment				
1. Is documentation available to ensure that independent assessments are planned and conducted to measure item and service quality, measure the adequacy of work performance, and promote improvement?				
2. Is documentation available to ensure that the group performing the independent assessments have sufficient authority and freedom from the line to carry out its responsibilities?				
3. Is documentation available to ensure that persons conducting independent assessments are technically qualified and knowledgeable in the areas assessed?				
C. TRANSPORTATION SAFETY DOCUMENT				
1. Has the contractor prepared an onsite hazardous materials Transportation Safety Document (TSD)? [460.1(5)]				

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a. Does the TSD contain the expected elements identified in DOE Guide 460.1-1?				
1. Identification of responsibilities, lines of authority, and program approval procedures?				
2. Definition of minimum safe packaging requirements including necessary design, fabrication, and quality assurance elements, using appropriate codes and standards?				
3. Description of transportation systems and operational controls utilized to restrict personnel and public access and minimize the probability and consequence of credible accidents?				
4. A description of the process and analysis used to ensure that equivalent safety requirements, on a technically justified basis, are established?				
5. Site description, including maps identifying boundaries, railways, and roadways, which clearly delineates offsite and onsite areas, and procedures for clearing and establishing access control for any area having occasional public access?				
6. Provisions for effective emergency response and recovery under credible accident conditions?				
7. Process for accomplishing nonroutine packaging and transportation activities?				
b. Has the TSD been approved by the cognizant DOE Field Element? <i>Approval shall constitute acceptance of the contractor's program as meeting DOE transportation safety requirements.</i>				

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D. TRANSPORTATION PLAN				
1. Does the contractor ship spent nuclear fuel, high-level waste or high-visibility shipments and/or campaigns? If yes, answer the following questions.				
a. Has the contractor prepared a Transportation Plan in accordance with DOE Order 460.2?				
b. Does the plan include the following:				
1. Description of the material(s) being shipped?				
2. Shipping dates?				
3. Estimated number and weight of shipments?				
4. Mode of transportation?				
5. Proposed carrier route?				
6. Packaging description?				
7. Cargo security arrangements, if required?				